

EXAMINER'S AMENDMENT

1. This communication is in response to Applicant's amendment filed 15 January 2010.

Status of Claims

2. Claims 1-5, 8-14, and 16-18 are allowed.

Examiner's Amendment

3. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Tim D. Chheda, Reg. No. 60,752 on 18 March 2010.

The application has been amended as follows:

1. (Currently Amended) A method of securing an ownership interest in a publicly traded corporation, wherein the method comprises:
 - receiving a request to open a brokerage account;
 - remotely providing account application information to an online brokerage;
 - electronically signing an account agreement authorizing the establishment of an online brokerage account with said online brokerage;
 - opening said online brokerage account;

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authorizing an online real-time transfer of investment funds to said online brokerage

account;

automatically, ~~via a computer,~~ initiating an online transfer of investment funds to said

online brokerage account;

using said online brokerage account to place an online real-time trading order using an

abbreviation associated with said publicly traded corporation;

using said online brokerage account to complete an online real-time trading order; ~~and~~

principalling, ~~via a computer,~~ said online brokerage account, wherein the principalling

process includes:

obtaining an account type selection;

presenting electronically a list of new brokerage accounts having the selected

account type to at least one principal;

obtaining from the at least one principal an individual status designation for each

of the new brokerage accounts listed, wherein said designation is

indicative of acceptance or non-acceptance of the new brokerage accounts;

obtaining a password from the at least one principal; and

if the password is valid, updating records of the new brokerage accounts to reflect the

individual status designations.

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Reasons for Allowance

4. The following is an examiner's statement of reasons for allowance:

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The closest relevant prior art is Bursey et al., U.S. Patent No. 7,356,497 which teaches a system, apparatus and method for establishing a flat fee brokerage account system. Bursey teaches that a determination is made whether to approve the account, and if approved, services are provided to the client (column 3, lines 33-48). Bursey teaches an account approval process in which a brokerage operations manager receives documentation and verifies client suitability and to verify the terms of an agreement (column 5, lines 10-42). The brokerage account manager can approve or not approve the account (column 8, lines 41-58).

Regarding claim 1, the prior art fails to teach or suggest a method of securing an ownership interest in a publicly traded corporation, wherein the method comprises:

principalling, via a computer, an online brokerage account, wherein the principalling

process includes:

obtaining an account type selection;

presenting electronically a list of new brokerage accounts having the selected

account type to at least one principal;

obtaining from the at least one principal an individual status designation for each

of the new brokerage accounts listed, wherein said designation is

indicative of acceptance or non-acceptance of the new brokerage accounts;

obtaining a password from the at least one principal; and

if the password is valid, updating records of the new brokerage accounts to reflect the

individual status designations.

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For this reason, claim 1 is deemed allowable over the prior art. Independent claims 8 and 16 are allowed under similar reasoning. Claims 2-5, 9-14, 17 and 18 are allowed based on their dependency.

5. Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Conclusion

6. Any inquiry concerning this communication or earlier communications from the examiner should be directed to STEFANOS KARMIS whose telephone number is (571)272-6744. The examiner can normally be reached on M-F: 8-5.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on (571) 272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Respectfully Submitted

/Stefanos Karmis/

Primary Examiner, Art Unit 3693

3 April 2010